

# **Office of Administrative Services**



## **Strategic Operational Plan for State Fiscal Year 2020**

**Kentucky Energy and Environment Cabinet**

**July 2019**

## Office of Administrative Services

### *Mission*

To support our agency partners in fostering an understanding of and adherence to regulatory requirements and create a positive, supportive work environment that values all employees.

### *Vision*

The Office of Administrative Services regards our employees and stakeholders as a trusted and valuable resource for innovative, accessible and responsive human resource services, financial management and information services.

### *Principles*

- **The Office of Administrative Services will provide leadership and guidance to attract, develop, motivate and retain a talented diverse workforce.** The decisions made by the OAS will be prudent, defensible and consistent with the EEC mission and in the best interest of the citizens of the commonwealth.
- **The Office of Administrative Services will focus on providing quality customer service.** We will continually review our business processes based on customer needs and establish measures by which we will monitor our effectiveness.
- **The Office of Administrative Services will provide high quality financial analysis.** We will offer sound advice, objective research and oversight regarding budget management and to ensure fiscal integrity for EEC.
- **The Office of Administrative Services will enable a proficient digital government supportive of our EEC agencies.** We will be a trusted and valued business partner with unyielding commitment to cost-effective service delivery.
- **The Office of Administrative Services will continue standardization of cabinet administrative processes and procedures.** We will review current standard operating processes and update them to reflect the cabinet's management philosophy. In addition, new standard operating procedures will be developed to address key issues within the cabinet.

## Office of Administrative Services

# CONTENTS

<b>Division of Human Resources Management.....</b>	<b>4</b>
Objective 1 – Recruit and retain qualified employees for positions at EEC .....	4
Objective 2 – Coordinate Ongoing OAS Division of Human Resources Activities..	4
Objective 3 - Continued Implementation of Facilities Coordination.....	5
Objective 4 – Provide adequate training to EEC employees. ....	5
Objective 5 – Develop cabinet wide policies and standard operating procedures....	6
Objective 6 – Develop a cabinet wide safety program.....	6
 <b>Division of Information Services .....</b>	 <b>7</b>
Objective 1 –Accurately scan and quality check all documents that are to be converted to electronic form and submitted to ARM or other approved state database systems .....	7
Objective 2 – Manage public records in a manner that is cost-effective and provides timely, accurate access to paper files and electronic documents to the public.....	7
Objective 3 – Provide technical, personnel and administrative support for OAS IT-Based grants.. ....	8
Objective 4 – Develop, enhance and support EEC-specific IT applications... ..	9
Objective 5 – Coordinate Ongoing OAS Division of Information Services Activities... ..	10
Objective 6 - Develop, enhance and support EEC-wide GIS implementations. ....	10
 <b>Division of Financial Management .....</b>	 <b>12</b>
Objective 1 – Continue to Support and Coordinate Ongoing Programmatic Activities.....	12
Objective 2 – Manage and Implement the EEC biennial and annual operating budgets. ....	12
Objective 3 – Implement cabinet-wide procurement coordination.....	13
Objective 4 – Coordinate and implement federal grants for EEC.....	13
 <b>Appendices</b>	
Office of Administrative Services Organizational Chart .....	15

## Office of Administrative Services



### Division of Human Resources Management

#### Objective 1 – Recruit and retain qualified employees for positions at EEC.

**Tactic 1.1:** Continue ongoing efforts to identify resources that will assist in the hiring and retaining of qualified employees.

**Action 1.1.1:** Continue to provide recommendations to present to the Personnel Cabinet to increase employee retention and recruitment. Modify job specifications to reflect current agency needs and continue to eliminate obsolete job specifications.

**Action 1.1.2:** Continue to work with EEC client agencies to develop program specific training opportunities.

**Tactic 1.2:** Continue implementation of annual cabinet Leadership Training to prepare staff for management roles within the organization by providing a structured program of critical leadership topics.

**Action 1.2.1:** Provide skills that will increase the knowledge of future leaders within the cabinet.

#### Objective 2 – Coordinate Ongoing OAS Division of Human Resources Activities.

**Tactic 2.1:** Continue to identify recommendations that will assist in providing continued customer service to EEC client agencies on all aspects of human resources and initiate actions required for carrying out the day-to-day activities in OAS/DHRM.

**Action 2.1.1:** Continue to cross train all Division of Human Resource employees to have a base knowledge in all support aspects.

**Action 2.1.2:** Coordinate personnel activities including the EEO/ADA, Affirmative Action Plans and Title VI activities. Schedule Title VI training for all Human Resources Branch staff.

**Action 2.1.3:** Maintain cabinet wide system for tracking personnel action submittals.

**Action 2.1.4:** Streamline and update American Disabilities Act (ADA) reviews and procedures.

**Action 2.1.5:** Streamline and update FMLA reviews and procedures.

## **Office of Administrative Services**

**Action 2.1.6:** Streamline and update I-9 reviews and procedures.

**Action 2.1.7:** Continued education for all division staff specific to their assigned duties.

### **Objective 3 – Continued Implementation of Facilities Coordination.**

**Tactic 3.1:** Continued elimination of facility and equipment redundancies on a cabinet level.

**Action 3.1.1:** Coordinate EEC vehicle motor pool maintenance.

**Action 3.1.2:** Continue to work to right size the EEC motor pool.

**Action 3.1.3:** Continue to coordinate cabinet processes for uniforms, inventory and mail delivery services.

**Action 3.1.4:** Serve as liaison with Real Properties to coordinate EEC efforts related to space request and janitorial contracts for leased buildings.

**Action 3.1.5:** Ensure all 300 Sower Building and maintenance issues are entered into Facility Dude for response and corrective action by the property owner.

**Action 3.1.6:** Ensure the 150 Sower Building that houses staff who operate the cabinet motor pool is maintained.

### **Objective 4 – Provide adequate training to EEC employees.**

**Tactic 4.1:** The goal of the Office of Administrative Services is to provide the best, cost-effective services to the EEC. This goal is to be achieved by maintaining a qualified and healthy workforce.

**Action 4.1.1:** Offer the OAS New Employee Orientation program on a semi-monthly basis to all new EEC employees and maintain the manual (and PowerPoint presentation) to ensure that the content is appropriate and current.

**Action 4.1.2:** Coordinate EEC Management Training (includes training on employee relations, enforcement of state/cabinet/department-level policies, etc.)

**Action 4.1.3:** Assist the EEC in identification of specialized training needs and provide approval and support for the training.

**Action 4.1.4:** Coordinate EEC employee participation in the Kentucky Employee Health Plan, Living Well initiatives, Go 365 and KECC activities.

**Action 4.1.5:** Ensure that EEC maintains the required number of internal certified trainers to meet annual training requirements to teach CPR/FA/BBP to cabinet employees. Continue to transition all CPR training to American Health & Safety Institute (ASHI) curriculum.

**Action 4.1.6:** Ensure that all management staff have received Reasonable Suspicion Training as part of the Cabinet's Policy and Protocol on Employee Drug and Alcohol Testing (EEC 01-2017).

## **Office of Administrative Services**

### **Objective 5 – Develop cabinet wide policies and standard operating procedures.**

**Tactic 5.1:** Analyze current processes/procedures, policies within the departments and implement consistent cabinet wide policies/procedures & SOP's

**Action 5.1.1:** Continue to maintain and update a central location on the share drive to house all EEC policies and procedures. Have all employees sign policy acknowledgement forms to ensure they have received a copy of the policies; have read the policies; and have agreed to abide by the policies.

### **Objective 6 – Develop a cabinet-wide safety program.**

**Tactic 6.1:** Analyze current safety practices and procedures across the cabinet and ensure consistency in maintaining a qualified and healthy workforce.

**Action 6.1.1:** Coordinate scheduling and provide oversight of safety training for EEC employees to include fire drills, tornado drills, earthquake drills, building evacuation procedures, and active shooter training in FY20. Work with other agencies in the 300 Sower Building to develop safety programs and coordinate scheduling to train all EEC staff designated as Team Leaders and Rally Point Captains on procedures for reporting to command post. Evaluate existing procedures to improve communication and coordination.

**Action 6.1.2:** Work with cabinet staff to coordinate new safety training curriculums in the Cornerstone database.

**Action 6.1.3:** Implement a building security plan for the 300 Sower complex.

**Action 6.1.4:** Coordinate scheduling and provide oversight of all Safety Training for EEC employees. Ensure certification and/or completion of all training is identified by individual and entered in the Cornerstone database.

**Action 6.1.5:** Hire Executive Staff Advisor to develop and coordinate safety strategies for all EEC agencies.

## Office of Administrative Services



### Division of Information Services

**Objective 1 – Accurately scan and quality check all documents that are to be converted to electronic form and submitted to ARM or other approved state database systems.**

**Tactic 1.1:** Scan and quality check all documents received in the file room within one business day of arrival in the scanning area.

**Action 1.1.1:** Run monthly report to measure the number of pages and documents scanned and number of documents scanned by individual staff.

**Action 1.1.2:** Monitor and manage the number of documents that land on error page.

**Action 1.1.3:** Run monthly report to track the actual time it takes a document to be submitted to ARM from when it was received in the file room.

**Action 1.1.4:** DIB manager will record and report progress to OAS.

**Action 1.1.5:** Perform a second quality check for all scanned documents to ensure quality.

**Tactic 1.2:** Scan and prep all historical and special project files to be converted to electronic form to reduce paper storage for the cabinet.

**Action 1.2.1:** Run monthly report to measure the number of historical/special project pages and documents scanned and number of documents scanned by individual staff.

**Action 1.2.2:** Coordinate and plan special scanning requests with other agencies.

**Action 1.2.3:** Continue to track and report the status of the Oil & Gas historical scanning project.

**Action 1.2.4:** Continue to track and report the status of the Nature Preserve historical scanning project.

**Action 1.2.5:** DIB manager will record and report progress to OAS.

**Action 1.2.6:** Perform a second quality check for all scanned documents to ensure quality.

**Objective 2 – Manage public records in a manner that is cost-effective and provides timely, accurate access to paper files and electronic documents to the public.**

**Tactic 2.1:** Respond to all Open Records requests within three business days



## **Office of Administrative Services**

- Action 2.1.1:** Continue to enforce a standard process that requires immediate entry of open records requests and receipt dates into ARM.
  - Action 2.1.2:** Continue running ARM reports that show the response times for open records requests. Reports should include data on how many requests have been received and processed for each Department within the Cabinet.
  - Action 2.1.3:** Continue to coordinate with the Office of General Counsel in order to effectively process and complete open records request from attorneys and media.
  - Action 2.1.4:** Implement any needed changes to the open records response process in accordance with Office of General Counsel recommendations.
  - Action 2.1.5:** Continue to cross-train all Public Records Branch employees to fulfill requests for DNR as well as DEP.
  - Action 2.1.6:** Work with program staff to standardize the method in which they assist this office with gathering documents for production.
- Tactic 2.2:** Ensure all agency records retention schedules are up to date and records are properly maintained for the time period directed in the schedule.
- Action 2.2.1:** Review all schedules for each Department within the Energy and Environment Cabinet to determine if they contain any inaccuracies. Work with Departmental Program staff if necessary to determine accuracy of the categories of records listed.
  - Action 2.2.2:** In the event, outdated or inaccurate information is found on any record retention schedule work with Program Staff and Kentucky Department for Library and Archive staff to update the schedule.

### **Objective 3 – Provide technical, personnel and administrative support for OAS IT-Based grants.**

- Tactic 3.1:** Meet goals of USEPA and other grant-based projects on time and on budget.
- Action 3.1.1:** Complete KATTS Enhancements as noted in project plan.
  - Action 3.1.2:** Complete initial phase of KWADE Enhancements.
  - Action 3.1.3:** Complete the “Access to Data” Exchange Network grant project as noted in the project plan.
- Tactic 3.2:** Meet goals of ANE grant-based projects on time and on budget.
- Action 3.2.1:** Finalize SMIS and WebSMIS re-write by August 2019.
  - Action 3.2.2:** Finalize ORGF Rewrite and Enhancements by February 2020.
  - Action 3.2.3:** Implement all DMRE Coal and Non-Coal eForms (currently developed and in testing).
  - Action 3.2.4:** Convert all Mine Permit (DMP) Applications from Microsoft Access-based forms to eForms. Implement by end of FY21.



## Office of Administrative Services

**Action 3.2.5:** Complete AML project analysis and proposal for new application/database.

### Objective 4 – Develop, enhance and support EEC-specific IT applications

**Tactic 4.1:** Manage Projects on IT project list

**Action 4.1.1:** Continue to utilize Agile Kanban methodologies for development.

**Action 4.1.2:** Utilize JIRA, Project Online and PowerBi to communicate the status of projects to management and interested parties.

**Action 4.1.3:** Fully implement ARM version 2.5

**Action 4.1.4:** Continue to conduct bi-weekly project status meetings.

**Action 4.1.5:** Re-write ePortal to utilize eForms.

**Action 4.1.6:** Upgrade/Consolidate all 2008 Servers to Server 2016.

**Action 4.1.7:** Rewrite old GAPS applications to .NET including Pay Forecaster, Cash Receipts, etc.

**Action 4.1.8:** Finalize implementation of phase one and fully complete phase two of the OAH HERO project.

**Action 4.1.9:** Implement and enhance Reports Tool throughout cabinet

**Tactic 4.2:** Provide Database Support.

**Action 4.2.1:** Provide timely Help Desk Support for all EEC applications.

**Action 4.2.2:** Continue on-going support of recent implementations such as Reports Tool, DEPORR and PSTeAF.

**Action 4.2.3:** Convert existing DNR workflows from Staffware/WWF to Nintex and integrate with EEC SharePoint environment.

**Action 4.2.4:** Even though grant funding was not provided by EPA for state-specific enhancements, DEP is obligated to complete the requirements of the eReporting rule for data collection and data flow to EPA.

**Action 4.2.5:** Integrate recently created ‘Doc-In’ and ‘Doc-Out’ Services into more EEC applications.

**Action 4.2.6:** Implement Asbestos and Lab Certification in ARM.

**Tactic 4.3:** Provide business analysis in order to improve Cabinet efficiency and make IT infrastructure more effective.

**Action 4.3.1:** Analyze current business processes and identify opportunities to improve them, leading to initiation of projects.

**Action 4.3.2:** Identify and manage requirements for IT projects.

**Action 4.3.3:** Collaborate with development team and project team(s) to ensure that the results of the project satisfy the needs identified in the requirements.

**Action 4.3.4:** Facilitate a project post-mortem meeting with project stakeholders.

**Action 4.3.5:** Provide improved technology planning and coordination of all Department technology staff in order to upgrade all legacy applications.

## **Office of Administrative Services**

Due to the rising cost of Linux-One (Oracle) transition from Oracle to SQL as much as possible.

**Action 4.3.6:** Provide guidance to consolidate servers in order to save cabinet funds.

**Tactic 4.4:** Provide IT application training

**Action 4.4.1:** Create and modify training videos to reflect enhancements in EEC Applications, including ARM, ARM Reports Tool, eForms, KOG, SMIS, and DNR applications.

**Action 4.4.2:** Develop documentation for new applications

**Tactic 4.5:** Provide intra-agency and inter-agency IT related coordination.

**Action 4.5.1:** Initiate assistance within one business day of receipt of request.

**Action 4.5.2:** Coordinate with intra- and inter- agency IT operations staff and users to solve technical problems, which impede or delay the processing of data.

**Action 4.5.3:** Evaluate and determine automation needs.

**Action 4.5.4:** Relay information regarding user needs.

**Action 4.5.5:** Follow-up to ensure user needs met in timely fashion.

**Action 4.5.6:** Establish and maintain effective working relationships.

**Action 4.5.7:** Coordinate with Human Resources staff and with COT in order to complete on-boarding, separation and transfer activities prior to the personnel action effective date.

**Action 4.5.8:** Create Standard Operating Procedures for coordination with COT related to Enterprise Identity Management and personnel actions.

## **Objective 5 – Coordinate Ongoing OAS Division of Information Services Activities.**

**Tactic 5.1:** Identify recommendations that will assist in providing the service and responsiveness required for carrying out the day-to-day activities in the EEC.

**Action 5.1.1:** Work with cabinet staff as required ensuring that all IT software licenses are kept current and/or retained under the realm of COT.

**Action 5.1.2:** Cross train technology staff to support applications for all agencies to avoid interruption of service. Specific short-term needs are backup IT staff for Oracle, InfoImage, MIST, GIS mapping applications

**Action 5.1.3:** Facilitate necessary discussions with COT in order to prioritize projects and issues and to keep EEC IT infrastructure operational.

## **Objective 6 – Develop, enhance and support EEC-wide GIS implementations**

**Tactic 6.1:** Implement recommendations from ESRI Enterprise Advantage program.

**Action 6.1.1:** Follow and implement the guidance document provided by ESRI.

## Office of Administrative Services

### **Tactic 6.2:** GIS Data and Service Reliability.

**Action 6.2.1:** Establish tracking & project management system for GIS to better track and report on projects, requests/issues, staff time, department use and tasks.

**Action 6.2.2:** Formalize GIS data standards throughout the organization to ensure consistency and quality of GIS data over the long term.

### **Tactic 6.3:** Accessible GIS Data and Applications Ease of Use.

**Action 6.3.1:** Develop and implement a comprehensive strategy to incorporate identified user input to improve content management of GIS data and applications.

**Action 6.3.2:** Update the GIS Training Plan to include additional methods/techniques/technologies to inform the public and train staff of GIS applications and data.

### **Tactic 6.4:** Seek opportunities to further integrate GIS.

**Action 6.4.1:** Actively seek out integration opportunities with other agencies to further integrate and streamline workflows and improve knowledge sharing.

**Action 6.4.2:** Research and develop easy to use metrics/analytical tools to help further extend GIS' role in metrics and analysis throughout the Cabinet.

### **Tactic 6.5:** Leverage New/Emerging GIS Technologies.

**Action 6.5.1:** Establish and implement GIS Technology Strategy to systematically evolve into new or emerging technologies.

## Office of Administrative Services



### Division of Financial Management

#### Objective 1 – Coordinate Ongoing OAS Division of Financial Management Activities.

**Tactic 1.1:** Identify recommendations that will assist in providing the service and responsiveness required for carrying out the day-to-day activities in the OAS.

**Action 1.1.1:** Coordinate EEC budgetary activities including submission of annual and biennial operating budgets, and fiscal year closeout.

**Action 1.1.2:** Identify subject matter experts to serve as a point of contact and assistance for all departmental procurement needs. Maintain a database to track payment status for EEC purchases and/or utility costs.

**Action 1.1.3:** Expand historical data tracking to encompass areas and categories throughout EEC to assist in high-level decisions.

**Action 1.1.4:** Establish annual personnel CAP levels for EEC. Work with cabinet leadership, Commissioners/Directors to determine CAP allocations. Ensure adequate funding is available. Develop and submit CAP increase requests to Office of State Budget Director as needed.

**Action 1.1.5:** Update/develop standardized reporting tools for emars, budgeting, etc. Provide cabinet-wide training for emars reporting tools for all emars users.

**Action 1.1.6:** Ensure that all divisions within the Department for Environmental Protection have adequate funding budgeted to support the DEP Scholarship Program provided through the University of Kentucky.

**Action 1.1.7:** Develop and/or update standard operating procedures and cabinet policies that support administrative functions within OAS and the Cabinet as a whole.

#### Objective 2 – Manage and Implement the EEC biennial and annual operating budgets.

**Tactic 2.1:** Manage and present cabinet budgetary information in meaningful and useful ways to assist in sound policy decision making.

**Action 2.1.1:** Train budget staff to provide budget information in a timely and accurate manner.

**Action 2.1.2:** Manage cabinet allotments and cash accounts. Maximize cabinet funding by identifying overlapping goals/directives within the Cabinet.

## **Office of Administrative Services**

**Action 2.1.3:** Develop informative and educational budget/grant meetings. Ensure there is adequate funding available for Cabinet/Department priorities.

**Action 2.1.4:** Present relative budgetary data analysis to cabinet secretary, Commissioners and Directors giving them information needed to make informed policy decisions.

**Action 2.1.5:** Process emars documents for budgetary approval in a timely manner.

### **Objective 3 – Implement cabinet wide procurement coordination.**

**Tactic 3.1:** Coordinate and implement cabinet procurement guidelines and training to ensure financial integrity.

**Action 3.1.1:** Establish EEC standard operating procedures and procurement guidelines that incorporate state procurement laws.

**Action 3.1.2:** Approve procurement documents in a timely manner.

**Action 3.1.3:** Train DFM staff on statewide procurement regulations and processes.

**Action 3.1.4:** Provide High-level procurement training to Commissioners and Directors to ensure fiscal integrity for EEC.

**Action 3.1.5:** Continue procurement education for EEC procurement staff.

**Action 3.1.6:** Monitor contracts and look for efficiencies and ways to consolidate orders and/or contracted work to ensure better values related to costs.

### **Objective 4 - Coordinate and implement federal grants for EEC.**

**Tactic 4.1:** Coordinate EEC Federal Grant approval process. Serve as point of contact for grant reporting.

**Action 4.1.1:** Submit required grant reporting to federal government for EEC grants within established timeframes.

**Action 4.1.2:** Work with cabinet grant contacts to manage grant budgets within statewide accounting system (emars).

**Action 4.1.3:** Train all DFM grant staff on federal grant application process.

**Action 4.1.4:** Grant accountants and budget staff work together to ensure maximum use of grant funding within EEC.

**Action 4.1.5:** Complete federal draws accurately and timely to ensure the cabinet is fully reimbursed.

## Office of Administrative Services



## Appendices

Current  
07/01/19

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